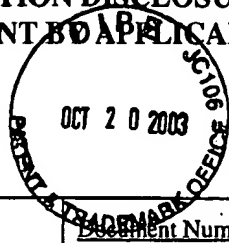


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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

Sheet 1 of 2



Application Number.: 09/939,235  
 Filing Date: August 24, 2001  
 First Named Inventor: Armstrong et al.  
 Art Unit: 2121  
 Examiner Name: Unassigned  
 Attorney Docket Number.: ROC920010252US1

**U.S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number Number - Kind Code <sup>2</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns or Lines Where Relevant Passages or Figs. Appear
KT		US - 5,692,193	11-25-1997	Jagannathan et al.	
		US -			
		US -			
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**FOREIGN PATENT DOCUMENTS**

Examiner Initials	Cite No. <sup>1</sup>	Foreign Patent Document Country <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> Code (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns or Lines Where Relevant Passages or Figs. Appear	T <sup>6</sup>

Examiner Signature	<i>Kenneth Sang</i>	Date Considered	<i>9/28/04</i>
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kind Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3).

<sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language translation is attached.

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Examiner Name: Unassigned  
Attorney Docket Number.: ROC920010252US1

### OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

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Examiner Signature	Kenneth Jung	Date Considered	9/28/04
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**U.S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number Number - Kind Code <sup>2</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns or Lines Where Relevant Passages or Figs. Appear
KT	A	US - 5535321A	07/09/1996	Timothy J. Massaro et al	
KT	B	US - 6625638B1	09/23/2003	Jeffrey Paul Kubala et al	

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**FOREIGN PATENT DOCUMENTS**

Examiner Initials	Cite No. <sup>1</sup>	Foreign Patent Document Country <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> Code (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns or Lines Where Relevant Passages or Figs. Appear	T <sup>6</sup>

Examiner Signature	<i>Kenneth Sang</i>	Date Considered	9/28/04
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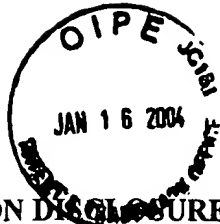
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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

Sheet 2 of 2

Application Number.: 09/939,235  
 Filing Date: August 24, 2001  
 First Named Inventor: Armstrong et al  
 Art Unit: 2121  
 Examiner Name: Unassigned  
 Attorney Docket Number.: ROC920010252US1

**OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS**

Examiner Initials	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and or country where published.	T <sup>2</sup>
KT	C	Menasce, D. et al. "Capacity Planning and Performance Modeling", ISBN 0-13-035494-5, © 1994.	
KT			
KT	D	Leutenegger et al. "A Modeling Study of the TPC-C Benchmark", Proceedings of the 1993 ACM SIGMOD Int'l Conference on Management of Data, 1993, pp. 22-31.	
KT			
KT	E	Levine, C. "Order-of-Magnitude Advantage on TPC-C Through Massive Parallelism", Proceedings of the 1995 ACM SIGMOD Int'l Conference on Management of Data, 1995, pp. 464-465.	
KT			
KT	F	IBM Corporation, "AS/400 Logical Partitions Hardware Planning Guide", © 1999	
KT	G	Schimunek, G. et al. "Slicing the AS/400 With Logical Partitioning: A How to Guide", August 1999.	
KT			
KT	H	IBM Corporation, "LPAR Configuration and Management", First Edition, © April 2002.	

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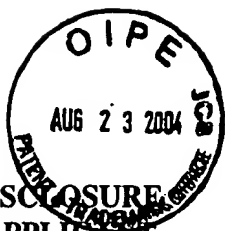
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Sheet 1 of 2



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Examiner Initials*	Cite No. <sup>1</sup>	Document Number Number - Kind Code <sup>2</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns or Lines Where Relevant Passages or Figs. Appear
KT		US - 5,325,526	06-28-1994	Cameron et al.	
KT		US - 5,357,632	10-18-1994	Pian et al.	
KT		US - 5,574,914	11-12-1996	Hancock et al.	
KT		US - 6,199,093 B1	03-06-2001	Yokoya	
KT		US - 6,247,109 B1	06-12-2001	Kleinsorge et al.	
KT		US - 6,542,926 B2	04-01-2003	Zalewski et al.	
KT		US - 6,598,069 B1	07-22-2003	Rooney et al.	
KT		US - 6,647,508 B2	11-11-2003	Zalewski et al.	
		US -			
		US -			
		US -			

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Sheet 2 of 2



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KT		BAKSHI et al., "Partitioning and Pieplining for Performance-Constrained Hardware/Software Systems," 1999 IEEE, pp. 419-432.	
KT		AYACHI et al., "A Hierarchical Processor Scheduling Policy for Multiprocessor Systems," 1996 IEEE, pp. 100-109.	

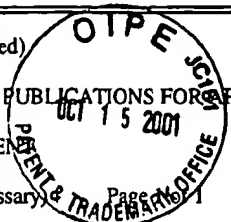
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FORM PTO-1449 (Modified)	ATTY. DOCKET NO. ROC920010252US1	SERIAL NO. 09/939,235
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT	APPLICANT: William J. Armstrong et al.	
(Use several sheets if necessary)	FILING DATE: August 24, 2001	GROUP: 2121



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REFERENCE DESIGNATION										U.S. PATENT DOCUMENTS				
EXAMINER INITIALS		DOCUMENT NUMBER								DATE	NAME	CLASS	SUB- CLASS	FILING DATE (IF APPRO.)
KT	AA	5	6	5	9	7	8	6	8/19/1997	George et al.	395	653		
KT	AB	4	8	4	3	5	4	1	6/27/1989	Bean et al.	364	200		
	AC													
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	AJ													
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FOREIGN PATENT DOCUMENTS										DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION	
		DOCUMENT NUMBER												YES	NO
	AL														
	AM														
	AN														
	AO														
	AP														

OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)									
KT	AR	U.S. Patent Application Serial No. 09/672,043, entitled "Technique for Configuring Processors in System with Logical Partitions," filed September 29, 2000.							
KT	AS	U.S. Patent Application Serial No. 09/838,057, entitled "Method and Apparatus for Allocating Processor Resources in a Logically Partitioned Computer System," filed April 19, 2001.							
KT	AT	U.S. Patent Application Serial No. 09/939,232, entitled "System for Yielding to a Processor," filed August 24, 2001.							

EXAMINER <i>Kenneth Lang</i>	DATE CONSIDERED <i>9/29/04</i>
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INFORMATION  
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(Use several sheets if necessary)

ATTY. DOCKET NO.  
ROC920010252US1SERIAL NO.  
09/939,235APPLICANT:  
William J. Armstrong et al.FILING DATE:  
August 24, 2001GROUP:  
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## REFERENCE DESIGNATION

## U.S. PATENT DOCUMENTS

EXAMINER INITIALS	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB- CLASS	FILING DATE (IF APPRO.)
	BA					
	BB					
	BC					
	BD					
	BE					
	BF					
	BG					
	BH					
	BI					
	BJ					
	BK					

## FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION
						YES NO
	BL					
	BM					
	BN					
	BO					
	BP					

## OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)

BR	IBM Corporation, S/390 Processor Resource/Systems Manager Planning Guide (IBM Pub. No. GA22-7236-04, 5 <sup>th</sup> Edition, March 1999)
BS	
BT	

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